

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10779295
Filing Date	2004-02-13
First Named Inventor	Joshua T. Goodman
Art Unit	2134 - 2155
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

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PBT	1	6161130		2000-12-12	Horvitz et al.	—	
	2	6842773		2005-01-11	Ralston et al.	—	
	3	6751348		2004-06-15	Buzuloiu et al	—	
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PBT	1	20030041126	A1	2003-02-27	Buford et al.		
PBT	2	20030016872	A1	2003-01-23	Sun		

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PBT	3	20040199585	A1	2004-10-07	Wang	
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PBT	1	Federal Trade Commission. "False Claims in Spam", A report by the FTC's division of marketing practices, April 30, 2003, http://www.ftc.gov/reports/spam/030429spamreport.pdf	<input type="checkbox"/>
PBT	2	HANSELL. "Internet is losing ground in battle against spam", The New York Times: Technology section, 22 April 2003, 2003.	<input type="checkbox"/>

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PBT	1	20030320054	A1	2003-10-23	Cheng, et al.	—		
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PBT	1	European Search report dated February 23, 2007, mailed February 28, 2007 for European Patent Application Serial Number 05105308, 4 pages.	<input type="checkbox"/>
PBT	2	European Search Report dated July 5, 2006, mailed July 24, 2006 for European Application No. EP 06 01 2631, 3 pages.	<input type="checkbox"/>

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PBT	1	20040015554	A1	2004-01-22	Brian Wilson		
	2	20040177120	A1	2004-09-09	Steven T. Kirsch		
	3	20030167311	A1	2003-09-04	Steven T. Kirsch		
	4	20040003283	A1	2004-01-01	Goodman, et al.		
PBT	5	20030204569	A1	2003-10-30	Andrews, et al.		
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PBT	1	20030009698	A1	2003-01-09	Lindeman, et al.	—		
PBT	2	20060036701	A1	2006-02-16	Bulfer, et al.	—		
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PBT	1	6742047		2004-05-25	Michael Man-Hak Tso	—	
	2	6314421		2001-11-06	Sharnoff, et al.	—	
	3	6421709		2002-07-16	McCormick, et al.	—	
	4	6321267		2001-11-20	Albert L. Donaldson	—	
	5	6701440		2004-03-02	Kim, et al.	—	
	6	6167434		2000-12-26	Stephen Y. Pang	—	
	7	6732157		2004-05-04	Gordon, et al.	—	
PBT	8	6643686		2003-11-04	Robert J. Hall	—	

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PBT	9	6928465		2005-08-09	Jerry Brett Earnest	
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PBT	1	20010046307	A1	2001-11-29	Ping Wah Wong	—
↓	2	20020073157	A1	2002-06-13	Newman, et al.	—
	3	20040199594	A1	2004-10-07	Radatti, et al.	—
	4	20020091738	A1	2002-07-11	Rohrbaugh, et al.	—
	5	20040073617	A1	2004-04-15	Milliken, et al.	—
	6	20030229672	A1	2003-12-11	Daniel Mark Kohn	—
PBT	7	20050015455	A1	2005-01-20	Gary G. Liu	—

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PBT	3	20030009698		2003-01-00	Lindeman, et al.			
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PTO/SB/08D (08-03)

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Complete If Known	
Application Number				10/779,295	
Filing Date				02-13-2004	
First Named Inventor				Joshua Goodman	
Art Unit				2134 2155	
Examiner Name				P. TRAN	
Attorney Docket Number				MS306896.01/MSFTP560US	
Sheet	2	of	2		

[illegible]

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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PTO/SB/06a (08-03)

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Substitute for form 1449A/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known Application Number 10/779,295 Filing Date 02-13-2004 First Named Inventor Joshua Goodman Art Unit 2134 2155 Examiner Name P. TRAN Attorney Docket Number M9306896.01/MSFTPS60US	
Sheet	1	of	1

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
PBT		US- 6,971,023	11-29-2005	Makinson, et al.	1
		US- 6,775,704	08-10-2004	Watson, et al.	1
		US- 6,505,250	01-07-2003	Freund, et al.	1
		US- 6,047,242	04-04-2000	Benson	1
		US- 6,732,273	05-04-2004	Byers	1
		US- 6,393,465	05-21-2002	Leeds	1
		US- 6,645,416	04-08-2003	Kirsch	1
PBT		US- 6,330,590	12-11-2001	Cotten	1
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁵
		Country Code ² Number ³ Kind Code ⁴ (if known)				

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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Substitute for form 1448APTO
**SUPPLEMENTAL
 INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

2

Complete if Known

Application Number	10/779,295
Filing Date	02-13-2004
First Named Inventor	Joshua Goodman
Art Unit	2434-2155
Examiner Name	P. TRAN
Attorney Docket Number	MS306896.01/MSETP560US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
PBT		US- 6,074,942	Stockwell, et al.	06-06-2000	---
		US- 6,199,102	Cobb	03-06-2001	---
		US- 6,477,551	Johnson, et al.	11-05-2002	---
		US- 6,101,531	Eggleston, et al.	08-08-2000	---
		US- 5,884,033	Duvall, et al.	03-16-1999	---
PBT		US- 6,484,261	Wiegel	11-19-2002	---
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FOREIGN PATENT DOCUMENTS

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Examiner
Signature

Philip Tran

Date
Considered

5/21/2007

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Substitute for form 1449A/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Complete if Known	
(Use as many sheets as necessary) Sheet <u>1</u> of <u>2</u>		Application Number 10/779,295	Filing Date February 13, 2004
		First Named Inventor Joshua T. Goodman	Art Unit 2134-2/55
		Examiner Name 	Attorney Docket Number MS306896.01/MSFTP560US

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
PBT		US- 2002/0184315	12-02-2002	Enroest	---
		US- 10/208,150	07-29-2002	Andaker	---
		US- 09/893,941	06-28-2001	Horvitz	---
		US- 10/278,591	10-23-2002	Heckerman	---
		US- 10/180,563	06-26-2002	Goodman	---
		US- 09/497,992	02-04-2000	Maller	---
PBT		US- 10/291,260	11-08-2002	Burrows	---
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
PBT		EP1376427 A2	01-02-2004	Microsoft Corporation	1	
PBT		EP1376427 A3	01-02-2004	Microsoft Corporation	1	

Examiner Signature <i>Philip Tran</i>	Date Considered 5/21/2007
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Substitute for form 1448B/PTO		Complete if Known	
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10/779,295
		Filing Date	February 13, 2004
		First Named Inventor	Joshua T. Goodman
		Art Unit	2134 2155
		Examiner Name	P. TRAN
Sheet 2 of 2	Attorney Docket Number	MS306896.01/MSFTP560US	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T*
PBT		BREIMAN, FRIEDMAN, OLSHEN, and STONE. "Classification and Regression Trees." Wadsworth & Brooks, Monterey, CA (1984).	✓
		QUINLAN. "C4.5: Programs for Machine Learning." Morgan Kaufmann, San Francisco, CA (1993).	✓
		HAYES, BRIAN. "Spam, Spam, Spam, Lovely Spam." American Scientist Online, June 30, 2003. Pgs. 1-6. vol. 91.	✓
PBT		European Search Report, dated June 9, 2005, mailed August 22, 2005 for European Patent Application Serial No. EP04011978, 12 pages.	✓

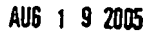
Examiner Signature	Philip Tran	Date Considered	5/21/2007
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/779,295
Filing Date	February 13, 2004
First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2134 2155
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

Sheet 1 of 2

U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

**Examiner
Signature**

Philip Tran

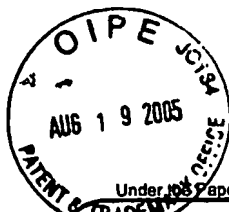
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Cons

5/21/2007

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Substitute for form 1449/PTO

**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	10/779,295
Filing Date	February 13, 2004
First Named Inventor	Joshua T. Goodman et al.
Art Unit	2134 2155
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

Sheet 2 of 2

NON PATENT LITERATURE DOCUMENTS

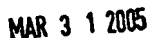
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PBT		Partial European Search Report, EP33823TE900kap, mailed 6-21-05	

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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(Use as many sheets as necessary)

Complete if Known

Application Number	10/779,295
Filing Date	February 13, 2004
First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2434-2155
Examiner Name	Unknown - P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

Sheet	1	of	2
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U. S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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		Country Code ³ * Number ⁴ * Kind Code ⁵ (# known)				
FD		WO 02/071286	09-12-2002	MessageLabs, Ltd.		

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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Application Number	10/779,295
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First Named Inventor	Joshua T. Goodman et al.
Art Unit	2134 2155
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

Sheet

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of

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NON PATENT LITERATURE DOCUMENTS

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PBT		YU WU, et al., A New Anti-Spam Filter Based on Data Mining and Analysis of Email Security, Conference Proceedings of the SPIE, Data Mining and Knowledge Discovery Theory, Tools and Technology V, vol. 5098, 21 April 2003, pp. 147-154, Orlando, FL, USA	—
		MASSEY, B., et al., Learning Spam: Simple Techniques for Freely-Available Software, Proceedings of Freenix Track 2003 Usenix Annual Technical Conference, Online!, 9 June 2003, pp. 63-76, Berkley, CA, USA	—
		GRAHAM, P., The Future of Spam, Computer Security Journal, CSI Computer Security Institute, vol. 19, no. 1, January 2003, pp. 1-5	—
PBT		GRAHAM, P., A Plan for Spam, Online!, August 2002, XP002273602, http://www.paulgraham.com/spam.html , retrieved on 2004-03-12	—

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete if Known

Sheet 2 of 2	Application Number	10/779,295
	Filing Date	February 13, 2004
	First Named Inventor	Joshua T. Goodman, et al.
	Art Unit	2134 2155
	Examiner Name	Unknown P. TRAN
Attorney Docket Number		MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PBT		European Search Report, EP31087TE900, mailed 11-11-04	—
		J. BYRNE, My Spamblock, Google, January 19, 1997, 2 pages	—
		D. F. SKOLL, How to Make Sure a Human is Sending You Mail, Google, November 17, 1996, 2 pages	—
PBT		L. M. BOWMAN, Hotmail Spam Filters Block Outgoing E-Mail, CNET NEWS.COM, January 18, 2001, 3 pages	—

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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Complete if Known

Application Number	10/779,295
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Filing Date	02/13/04
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First Named Inventor	Joshua T. Goodman
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Art Unit	2134 2155
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Examiner Name	Unknown P. TRAN
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Attorney Docket Number	MS306896.01/MSFTP560US
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U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No.¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code² (if known)			
PBT		US- 6,779,021	08-17-2004	Bates et al.	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,424,997	07-23-2002	Buskirk Jr. et al.	
		US- 6,684,201	01-27-2004	Brill	
		US- 6,633,855	10-14-2003	Auenshine	
		US- 6,023,723	02-08-2000	McCormick et al.	
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		US- 6,434,600	08-13-2002	Waite et al.	
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		US- 6,370,526	04-09-2002	Agrawal et al.	
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		US- 6,308,273	10-23-2001	Goertzel et al.	
		US- 5,704,017	12-30-1997	Heckerman et al.	
		US- 5,905,859	05-18-1999	Holloway et al.	
		US- 5,805,801	09-08-1998	Holloway et al.	
		US- 2004/0139165	07-15-2004	McMillan et al.	
PBT		US- 2004/0139160	07-15-2004	Wallace et al.	

FOREIGN PATENT DOCUMENTS

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First Named Inventor	Joshua T. Goodman
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PBT		US- 2004/0093371	05-13-2004	Burrows et al.	
		US- 2004/0054887	03-18-2004	Paulsen et al.	
		US- 2003/0037074	02-20-2003	Dwork et al.	
		US- 2002/0059425	05-16-2002	Belfiore et al.	
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		US- 5,638,487	06-10-1997	Chigier	
		US- 5,619,648	04-08-1997	Canale et al.	
		US- 5,377,354	12-27-1994	Scannell et al.	
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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
PBT		EP 413 537	02-20-1991	Scannell et al.		
PBT		EP 720 333	07-03-1996	Canale et al.		
PBT		WO 96/35994	11-14-1996	Finney et al.		

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Sheet 3 of 7	Application Number	10/779,295
	Filing Date	2/13/2004
	First Named Inventor	Joshua T. Goodman
	Art Unit	2134 2155
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PBT		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.	—
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	—
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		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	—
		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.	—
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	—
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	—
		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	—
		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.	—
PBT		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html .	—

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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Examiner Name	Unknown P. TRAN
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BT		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.	—
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		JACOB PALME, et al., Issues When Designing Filters In Messaging Systems, Computer Communications, 1996, pp. 95-101, Stockholm, Sweden.	—
		RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.	—
PBT		MEHRAN SAHAMI, et al., A Bayesian Approach to Filtering Junk E-Mail, AAAI Workshop on Learning for Text Categorization, July 1998, 8 pages, Madison, Wisconsin, USA.	—

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		First Named Inventor	Joshua T. Goodman		
		Art Unit	2134 2155		
		Examiner Name	Unknown P. TRAN		
Sheet	5	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

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PBT		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	✓
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		THORSTEN JOACHIMS, Transductive Inference for Text Classification Using Support Vector Machines, In Proceedings of the 16th International Conference on Machine Learning, 1999, pp.200-209, San Francisco, California, USA.	✓
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		MENG WENG WONG, SPF Overview, Linux Journal, April 2004, 6 pages, Vol. 2004 Issue 120, Specialized Systems Consultants, Inc.	✓
		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	✓
		ERIC ALLMAN, Spam, Spam, Spam, Spam, Spam, the FTC, and Spam, Queue, September 2003, pp. 62-69, Vol. 1 Issue 6.	✓
		TOM FAWCETT, "In vivo" Spam Filtering: A Challenge Problem for KDD, SIGKDD Explorations, December 2003, pp. 140-148, Vol. 5 Issue 2.	✓
PBT		J.D.M. RENNIE. ifile: An Application of Machine Learning to E-Mail Filtering, Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	✓

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Sheet 6 of 7

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		FABRIZIO SEBASTIANI, Machine Learning in Automated Text Categorization, ACM Computing Surveys, 2002, pp. 1-47, Vol. 34-Issue 1.	—
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		OLLE BALTER, et al., Bifrost Inbox Organizer: Giving users control over the inbox, NordiCHI 10/02, 2002, pp.111-118, Arhus, Denmark.	—
PBT		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	—

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		Art Unit	2134 2155		
		Examiner Name	Unknown P. TRAN		
Sheet	7	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

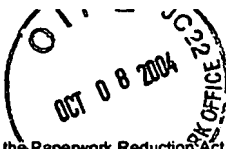
NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PBT		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.	1
		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.	1
		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.	1
		DAPHNE KOLLER, et al., Toward Optimal Feature Selection, Proc. of the Thirteenth International Conference, 1996, 9 pages.	1
PBT		DAVID DOLAN LEWIS, Representation and Learning in Information Retrieval, University of Massachusetts, 1992.	1

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT
BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

7

Complete if Known

Application Number	10/779,295
Filing Date	02/13/04
First Named Inventor	Joshua T. Goodman
Art Unit	2134 215
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
PBT		US- 6,779,021	08-17-2004	Bates et al.	
		US- 6,592,627	07-15-2003	Agrawal et al.	
		US- 6,728,690	04-27-2004	Meek et al.	
		US- 6,424,997	07-23-2002	Buskirk Jr. et al.	
		US- 6,684,201	01-27-2004	Brill	
		US- 6,633,855	10-14-2003	Auvenshine	
		US- 6,023,723	02-08-2000	McCormick et al.	
		US- 6,003,027	12-14-1999	Prager	
		US- 6,434,600	08-13-2002	Waite et al.	
		US- 5,835,087	11-10-1998	Herz et al.	
		US- 6,370,526	04-09-2002	Agrawal et al.	
		US- 6,327,617	12-04-2001	Fawcett	
		US- 6,308,273	10-23-2001	Goertzel et al.	
		US- 5,704,017	12-30-1997	Heckerman et al.	
		US- 5,905,859	05-18-1999	Holloway et al.	
		US- 5,805,801	09-08-1998	Holloway et al.	
		US- 2004/0139165	07-15-2004	McMillan et al.	
PBT		US- 2004/0139160	07-15-2004	Wallace et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages: or Relevant Figures Appear	T ³
		Country Code ² Number ⁴ Kind Code ⁵ (if known)				

Examiner
Signature

Philip Tran

Date
Considered

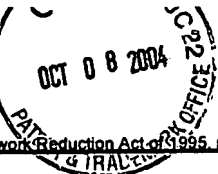
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

2

of

7

Complete if Known

Application Number 10/779,295
 Filing Date 02/13/04
 First Named Inventor Joshua T. Goodman
 Art Unit ~~2134~~ 2155
 Examiner Name Unknown P. TRAN
 Attorney Docket Number MS306896.01/MSFTP560US

U. S. PATENT DOCUMENTS

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PBT		US- 2004/0093371	05-13-2004	Burrows et al.	
		US- 2004/0054887	03-18-2004	Paulsen et al.	
		US- 2003/0037074	02-20-2003	Dwork et al.	
		US- 2002/0059425	05-16-2002	Belfiore et al.	
		US- 2002/0016956	02-07-2002	Fawcett	
		US- 5,638,487	06-10-1997	Chigier	
		US- 5,619,648	04-08-1997	Canale et al.	
PBT		US- 5,377,354	12-27-1994	Scannell et al.	
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PBT		EP 413 537	02-20-1991	Scannell et al.		
PBT		EP 720 333	07-03-1996	Canale et al.		
PBT		WO 96/35994	11-14-1996	Finney et al.		

Examiner
Signature

Philip Tran

Date

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Substitute for form 1449/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known			
		Application Number	10/779,295		
		Filing Date	2/13/2004		
		First Named Inventor	Joshua T. Goodman		
		Art Unit	2134 2155		
		Examiner Name	Unknown P. TRAN		
Sheet	3	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS			
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PBT		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11.	<input checked="" type="checkbox"/>
		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	<input checked="" type="checkbox"/>
		DAPHNE KOLLER, et al.; "Hierarchically Classifying Documents Using Very Few Words"; In ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning; San Francisco, CA: Morgan Kaufmann 1997; 9 pages.	<input checked="" type="checkbox"/>
		ELLEN SPERTUS; "Smokey: Automatic Recognition of Hostile Messages"; Proceedings of the Conference on Innovative Applications in Artificial Intelligence (IAAI), 1997, 8 pages.	<input checked="" type="checkbox"/>
		HINRICH SCHUTZE, et al.; "A Comparison of Classifiers and Document Representations for the Routing Problem"; Proceedings of the 18th Annual International ACM SIGIR Conference on Research and Development in Information Retrieval, Seattle, WA, July 9-13, 1995; pp. 229-237.	<input checked="" type="checkbox"/>
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	<input checked="" type="checkbox"/>
		YIMING YANG, et al.; "A Comparative Study on Feature Selection in Text Categorization"; School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, and Verity, Inc., Sunnyvale, CA; 9 pages.	<input checked="" type="checkbox"/>
		DAVID D. LEWIS, et al.; "A Comparison of Two Learning Algorithms for Text Categorization"; Third Annual Symposium on Document Analysis and Information Retrieval; April 11-13, 1994; pp. 81-93.	<input checked="" type="checkbox"/>
		MEHRAN SAHAMI; "Learning Limited Dependence Bayesian Classifiers"; In KDD-96: Proceedings of the Second International Conference on Knowledge Discovery and Data Mining; AAAI Press, 1996; Menlo Park, CA; pp. 335-338.	<input checked="" type="checkbox"/>
PBT		WILLIAM W. COHEN; "Learning Rules that Classify E-Mail"; In the Proceedings of the 1996 AAAI Spring Symposium on Machine Learning in Information Access. Downloaded from William Cohen's web page: http://www.research.att.com/nwcohen/pubs.html .	<input checked="" type="checkbox"/>

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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		Application Number	10/779,295		
		Filing Date	2/13/2004		
		First Named Inventor	Joshua T. Goodman		
		Art Unit	2134 2155		
		Examiner Name	Unknown P. TRAN		
Sheet	4	of	7	Attorney Docket Number	MS306896.01/MSFTP560US

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PBT		MAKOTO IWAYAMA, et al., Hierarchical Bayesian Clustering for Automatic Text Classification, Natural Language, 1995, pp. 1322-1327.	✓
		DAVID D. LEWIS, An Evaluation of Phrasal and Clustered Representations on a Text Categorization Task, 15th Annual International SIGIR '92, Denmark 1992, pp. 37-50.	✓
		DAPHNE KOLLER, et al, Toward Optimal Feature Selection, Machine Learning Proc. of the Thirteenth International Conference, Morgan Kaufmann, 1996, 9 pages.	✓
		DAVID DOLAN LEWIS, Representation and Learning in Information Retrieval, University of Massachusetts, 1992.	✓
		TOM MITCHELL, Machine Learning, Carnegie Mellon University, Bayesian Learning, Chapter 6, pp. 180-184.	✓
		Y. H. Li, et al., Classification of Text Documents, The Computer Journal, Vol. 41, No. 8, 1998; pp. 537-546.	✓
		JUHA TAKKINEN, et al., CAFE: A Conceptual Model for Managing Information in Electronic Mail, Laboratory for Intelligent Information Systems, Department of Computer and Information Science, Linköping University, Sweden, Conference on System Sciences, 1998 IEEE.	✓
		JACOB PALME, et al., Issues When Designing Filters In Messaging Systems, Computer Communications, 1996, pp. 95-101, Stockholm, Sweden.	✓
✓		RICHARD B. SEGAL, et al., SwiftFile: An Intelligent Assistant for Organizing E-Mail, In Proceedings of the Third International Conference on Autonomous Agents, May 1999, 7 pages.	✓
PBT		MEHRAN SAHAMI, et al., A Bayesian Approach to Filtering Junk E-Mail, AAAI Workshop on Learning for Text Categorization, July 1998, 8 pages, Madison, Wisconsin, USA.	✓

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Sheet	5	of	7	Application Number	10/779,295
				Filing Date	2/13/2004
				First Named Inventor	Joshua T. Goodman
				Art Unit	2134-2155
				Examiner Name	Unknown P. TRAN
				Attorney Docket Number	MS306896.01/MSFTP560US

NON PATENT LITERATURE DOCUMENTS

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PBT		DAVID MADIGAN, Statistics and The War on Spam, Rutgers University, pp. 1-13, 2003.	✓
		PADRAIG CUNNINGHAM, et al., A Case-Based Approach to Spam Filtering that Can Track Concept Drift, In The ICCBR'03 Workshop on Long-Lived CBR Systems, June 2003, 9 pages, Trondheim, Norway.	✓
		MARK ROSEN, E-mail Classification in the Haystack Framework, Massachusetts Institute of Technology, February, 2003, 103 pages.	✓
		THORSTEN JOACHIMS, Transductive Inference for Text Classification Using Support Vector Machines, In Proceedings of the 16th International Conference on Machine Learning, 1999, pp.200-209, San Francisco, California, USA.	✓
		JOHN WONG, Preventing Spams and Relays, Linux Journal, December 1998, 6 pages, Vol. 1998 Issue 56es, Specialized Systems Consultants, Inc.	✓
		MENG WENG WONG, SPF Overview, Linux Journal, April 2004, 6 pages, Vol. 2004 Issue 120, Specialized Systems Consultants, Inc.	✓
		Stop, in the Name of Spam, Communications of the ACM, November 1998, pp.11-14, Vol. 41 No. 11.	✓
		ERIC ALLMAN, Spam, Spam, Spam, Spam, Spam, the FTC, and Spam, Queue, September 2003, pp. 62-69, Vol. 1 Issue 6.	✓
		TOM FAWCETT, "In vivo" Spam Filtering: A Challenge Problem for KDD, SIGKDD Explorations, December 2003, pp. 140-148, Vol. 5 Issue 2.	✓
PBT		J.D.M. RENNIE, ifile: An Application of Machine Learning to E-Mail Filtering, Proceedings of the KDD-2000 Workshop on Text Mining, Sixth ACM SIGKDD International Conference on Knowledge Discovery and Data Mining, 2000. 6 pages.	✓

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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Application Number	10/779,295
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First Named Inventor	Joshua T. Goodman
Art Unit	2134 2155
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.01/MSFTP560US

Sheet 6 of 7

NON PATENT LITERATURE DOCUMENTS

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PBT		S. ARGAMON, et al., Routing documents according to style, In First International Workshop on Innovative Information Systems, 1998, 8 pages.	—
		K. MOCK, An Experimental Framework for Email Categorization and Management, Proceedings of the 24th Annual International ACM SIGIR Conference, 2001, pp.392-393.	—
		JOSE MARIA GOMEZ HIDALGO, Evaluating Cost-Sensitive Unsolicited Bulk Email Categorization, SAC 2002, 2002, pp. 615-620, Madrid, Spain.	—
		A.Z. BRODER, et al. Syntactic Clustering of the Web, SRC Technical Note, Digital Corporation, July 25, 1997, 13 pages.	—
		FABRIZIO SEBASTIANI, Machine Learning in Automated Text Categorization, ACM Computing Surveys, 2002, pp. 1-47, Vol. 34-Issue 1.	—
		I. ANDROUTSOPOULOS, et al., Learning to Filter Spam E-mail: A Comparison of a Naive Bayesian and a Memory-based Approach, 4th PKDD's Workshop on Machine Learning and Textual Information Access, 2000, 13 pages.	—
		D. TURNER et al., Payment-based Email, 5th International Conference on Software Engineering, Artificial Intelligence, Networking, and Parallel/Distributed Computing, June 2004, 7 pages.	—
		CORMAC O'BRIEN, et al., Spam Filters: Bayes vs. Chi-squared; Letters vs. Words, Proceedings of the 1st international symposium on Information and communication technologies, 2003, pp.291-296, Dublin, Ireland.	—
		OLLE BALTER, et al., Bifrost Inbox Organizer: Giving users control over the inbox, NordiCHI 10/02, 2002, pp.111-118, Aarhus, Denmark.	—
PBT		LORRIE FAITH CRANOR, et al., Spam!, Communications of the ACM, 1998, pp. 74-83, Vol. 41-No. 8.	—

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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		Filing Date	2/13/2004		
		First Named Inventor	Joshua T. Goodman		
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PBT		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans, International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, 2000, pp. 418-423.	<input checked="" type="checkbox"/>
PBT		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey, Microsoft Research, 2003, 53 pages.	<input checked="" type="checkbox"/>
PBT		D.A. TURNER et al., Controlling Spam through Lightweight Currency, In Proc. of the Hawaii International Conference on Computer Sciences, January 2004, 9 pages.	<input checked="" type="checkbox"/>
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Examiner Signature	<i>Philip Tran</i>	Date Considered	5/21/2007
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/779,295
Filing Date	February 13, 2004
First Named Inventor	Joshua T. Goodman
Art Unit	2134 2155
Examiner Name	Unknown P. TRAN
Attorney Docket Number	MS306896.1/MSFTP560US

Sheet 2 of 2

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
PBT		I. ANDROUTSOPOULOS, J. KOUTSIAS, K.V. CHANDRINOS, C.D. SPYROPOULOS. An Experimental Comparison of Native Bayesian and Keyword-based Anti-spam Filtering with Personal E-mail Messages. Proceedings of the 23rd ACM SIGIR Conference, pp. 160-167, 2000.	
		KEVIN R. GEE. Using Latent Semantic Indexing to Filter Spam. Proceedings of the 2003 ACM Symposium on Applied Computing, pp. 460-464, 2003.	
		P. PANTEL and D. LIN. SpamCop: A Spam Classification & Organization Program. In Proc. AAAI-1998 Workshop on Learning for Text Categorization, 1998. 8 pages.	
PBT		G. MANCO, E. MASCIARI, M. RUFFOLO, and A. TAGARELLI. Towards an Adaptive Mail Classifier. In Proc. of Italian Association for Artificial Intelligence Workshop, 2002. 12 pages.	

Examiner Signature	Philip Tran	Date Considered	5/21/2007
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